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3732

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PATENT APPLICATION  
DOCKET NO.: 3300.1014-007

IMS/jat(dcm)  
August 27, 2002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: David L. Brock and Woojin Lee

Serial No.: 10/008,871

Group Art Unit: 3732

Filed: November 16, 2001

Examiner: Not Provided

Confirmation No.: 5037

Title: Surgical Instrument

RECEIVED

SEP 13 2002

TECHNOLOGY CENTER R3700

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202	
on <u>9/3/02</u>	<u>Jennifer A. Tardiff</u>
Date	Signature
<u>Jennifer A. Tardiff</u>	
Typed or printed name of person signing certificate	

REVOCATION OF POWERS OF ATTORNEY  
AND APPOINTMENT OF NEW ATTORNEYS AND/OR AGENTS

Assistant Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

Sir:

endoVia Medical, Inc. (formerly Brock Rogers Surgical, Inc.), a Corporation duly organized under the laws of the Delaware, is the assignee of the entire right, title and interest in the above-identified application. A Certificate of Name Change with Recordation Form Cover Sheet is being filed and a copy is attached. endoVia Medical, Inc. hereby appoints the attorneys and/or agents associated with:

**Customer No. 21005**

Hamilton, Brook, Smith & Reynolds, P.C.

530 Virginia Road

P.O. Box 9133

Concord, Massachusetts 01742-9133

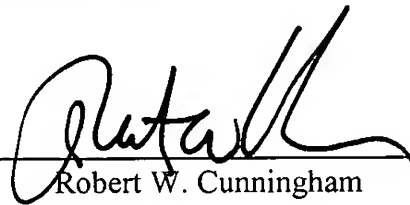
to prosecute the above-identified application and any divisions or continuations thereof and to conduct all business in the United States Patent and Trademark Office. All previously granted Powers of Attorney are hereby revoked.

Statement under 37 C.F.R. §3.73(b) is submitted herewith.

All correspondence should be sent to Customer No. 21005, Hamilton, Brook, Smith & Reynolds, P.C., 530 Virginia Road, P.O. Box 9133, Concord, Massachusetts 01742-9133. Please direct all telephone calls to James M. Smith at (978) 341-0036, and all facsimile communications to (978) 341-0136.

Respectfully submitted,  
endoVia Medical, Inc.

By



Robert W. Cunningham

Title

President

Date

8/31/02



Docket No. 3300.1014-007

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Applicants: David L. Brock and Woojin Lee

Application No.: 10/008,871 Filed: November 16, 2001

For: Surgical Instrument

endoVia Medical, Inc., a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is

- A. ☒ the assignee of the entire right, title and interest in the patent application identified above; or
- B. ☐ an assignee together with [ ] of the entire right, title and interest in the patent application identified above. A separate Statement under 37 CFR § 3.73(b) is being submitted.

The right, title and interest of the above-named assignee in the patent application identified above is established by virtue of:

- A. ☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventors of the patent application identified above, to the current assignee as shown below:

1. From: David L. Brock and Woojin Lee To: Brock Rogers Surgical, Inc.  
The document was recorded in the Patent and Trademark Office at  
Reel 012668, Frames 0989-0990.
2. From: Brock Rogers Surgical, Inc. To: endoVia Medical Inc.  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.

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- ☐ Additional documents in the chain of title are listed on a supplemental sheet.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date: 8/20/02

Name: Robert W. Cunningham

Title: President

Signature: [Signature]

COPY

# RECORDATION FORM COVER SHEET PATENTS ONLY

To the Commissioner, United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies)  
Brock Rogers Surgical, Inc.



2. Name and address of receiving party(ies)

Name: endoVia Medical Inc.

Internal Address: \_\_\_\_\_

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☐ Assignment

☐ Merger

☐ Security Agreement

☒ Change of Name

☐ Other \_\_\_\_\_

Execution Date: June 21, 2002

Street Address: 150 Kerry Place

City: Norwood

State: MA

ZIP: 02062

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

Please see attached list.

B. Patent No.(s)

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SEP 13 2002

TECHNOLOGY CENTER R3700

Additional numbers attached? ☒ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: James M. Smith, Esq.

Internal Address: \_\_\_\_\_

Hamilton, Brook, Smith & Reynolds, P.C.

Street Address: 530 Virginia Road

P.O. Box 9133

City: Concord

State: MA

ZIP: 01742-9133

6. Total number of applications and patents involved: [23]

7. Total Fee (37 C.F.R. 3.41)..... \$ 920.00

☒ Enclosed

☒ Authorized to charge any deficiencies or credit any overpayment to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

08-0380

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

James M. Smith

Name of Person Signing

[Signature]  
Signature

9/3/2  
Date

Total number of pages including cover sheet, attachments, and document: [6]

**Recordation Form Cover Sheet – Page 2**

4A. Patent Application numbers: (con't)

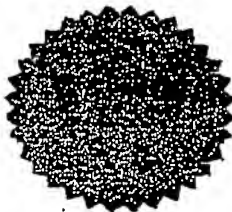
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10/011,449  
10/010,150  
10/022,038  
10/012,586  
60/332,287  
60/344,124  
10/034,871  
10/077,233  
10/097,923

# Delaware

PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "ENDOVIA MEDICAL INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE TWENTY-FIRST DAY OF JUNE, A.D. 2002.



2613174 8300

020400276

*Harriet Smith Windsor*

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 1844188

DATE: 06-21-02

AUG 15 2002 15:09 FR PALMER &amp; DODGE

TO 917812555525

P.03

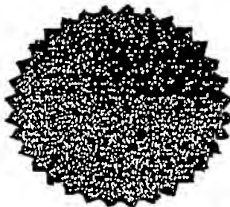
# Delaware

PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "BROCK ROGERS SURGICAL, INC.", CHANGING ITS NAME FROM "BROCK ROGERS SURGICAL, INC." TO "ENDOZIA MEDICAL INC.", FILED IN THIS OFFICE ON THE TWENTY-FIRST DAY OF JUNE, A.D. 2002, AT 8:45 O'CLOCK A.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



*Harriet Smith Windsor*  
Harriet Smith Windsor, Secretary of State

2613174 8100

AUTHENTICATION: 1844186

020400276

DATE: 06-21-02



AUG 15 2002 15:09 FR PALMER &amp; DODGE

TO 917812555525

P.04

**CERTIFICATE OF AMENDMENT OF  
AMENDED AND RESTATED CERTIFICATE OF INCORPORATION  
OF  
BROCK ROGERS SURGICAL, INC.**

Pursuant to Section 242  
of the General Corporation Law of  
the State of Delaware

Brock Rogers Surgical, Inc., a corporation organized and existing under the laws of the State of Delaware (the "Corporation"), does hereby certify as follows:

By vote of the Board of Directors of the Corporation taken on June 9, 2002, a resolution was duly adopted, pursuant to Sections 141 and 242 of the General Corporation Law of the State of Delaware (the "GCL"), setting forth an amendment to the Amended and Restated Certificate of Incorporation of the Corporation. The stockholders of the Corporation entitled to vote on the proposed amendment have duly approved said amendment by written consent in accordance with Sections 228 and 242 of the GCL. The resolution setting forth the amendment is as follows:

**RESOLVED:**

That ARTICLE FIRST of the Amended and Restated Certificate of Incorporation of this Corporation be and it is hereby amended to change the name of the Corporation from Brock Rogers Surgical, Inc. to endoVia Medical Inc. so that said ARTICLE FIRST shall be and read as follows:

"FIRST: The name of the Corporation is endoVia Medical Inc."

IN WITNESS WHEREOF, this Certificate of Amendment has been executed by the undersigned, a duly authorized officer of the Corporation, as of the 21st day of June, 2002.

BROCK ROGERS SURGICAL, INC.

By: /s/ Robert W. Cunningham  
Robert W. Cunningham  
President